



# UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
[www.uspto.gov](http://www.uspto.gov)

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/870,226	05/30/2001	Kenneth L. Smith	54538US012	9179
32692	7590	06/05/2007	EXAMINER	
3M INNOVATIVE PROPERTIES COMPANY			LONEY, DONALD J	
PO BOX 33427			ART UNIT	PAPER NUMBER
ST. PAUL, MN 55133-3427			1772	
		NOTIFICATION DATE	DELIVERY MODE	
		06/05/2007	ELECTRONIC	

Please find below and/or attached an Office communication concerning this application or proceeding.

The time period for reply, if any, is set in the attached communication.

Notice of the Office communication was sent electronically on above-indicated "Notification Date" to the following e-mail address(es):

LegalUSDocketing@mmm.com  
LegalDocketing@mmm.com

<b>Office Action Summary</b>	<b>Application No.</b>	<b>Applicant(s)</b>	
	09/870,226	SMITH ET AL.	
	<b>Examiner</b> Donald Loney	<b>Art Unit</b> 1772	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

#### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

#### Status

- 1) Responsive to communication(s) filed on 02 February 2007.
- 2a) This action is FINAL.                    2b) This action is non-final.
- 3) Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

#### Disposition of Claims

- 4) Claim(s) 1,3-13 and 38 is/are pending in the application.
  - 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) Claim(s) \_\_\_\_\_ is/are allowed.
- 6) Claim(s) 1,3-13 and 38 is/are rejected.
- 7) Claim(s) \_\_\_\_\_ is/are objected to.
- 8) Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

#### Application Papers

- 9) The specification is objected to by the Examiner.
- 10) The drawing(s) filed on \_\_\_\_\_ is/are: a) accepted or b) objected to by the Examiner.
 

Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).

Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

#### Priority under 35 U.S.C. § 119

- 12) Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
  - a) All    b) Some \* c) None of:
    1. Certified copies of the priority documents have been received.
    2. Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
    3. Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

#### Attachment(s)

1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)	4) <input type="checkbox"/> Interview Summary (PTO-413)
2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)	Paper No(s)/Mail Date. _____
3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08)	5) <input type="checkbox"/> Notice of Informal Patent Application
Paper No(s)/Mail Date <u>02/07/07</u> .	6) <input type="checkbox"/> Other: _____

## DETAILED ACTION

### ***Claim Rejections - 35 USC § 103***

1. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negatived by the manner in which the invention was made.

2. This application currently names joint inventors. In considering patentability of the claims under 35 U.S.C. 103(a), the examiner presumes that the subject matter of the various claims was commonly owned at the time any inventions covered therein were made absent any evidence to the contrary. Applicant is advised of the obligation under 37 CFR 1.56 to point out the inventor and invention dates of each claim that was not commonly owned at the time a later invention was made in order for the examiner to consider the applicability of 35 U.S.C. 103(c) and potential 35 U.S.C. 102(e), (f) or (g) prior art under 35 U.S.C. 103(a).

3. Claims 1, 3-13 and 38 are rejected under 35 U.S.C. 103(a) as being unpatentable over Chau et al (5735988) in view of the collective teachings of Stamm and Stueben et al (4165266).

Chau et al. disclose a method for making a reflective (i.e. engineered reflective surface), article (column 9, lines 39-48). Chau et al. teach the method comprises providing a base layer, forming a structured surface on the base layer, applying a reflective coating to the structured surface, applying an at least partially transparent, flowable, and radiation curable adhesive (e.g. acrylic based) to the structured surface,

Art Unit: 1772

placing a substrate over the radiation curable adhesive (see Figures IC-IF and column 5, lines 57-65 and column 6, lines 1-19). Alternatively, Chau et al. teach applying the radiation curable adhesive by first coating the substrate and then, applying the coated substrate to the structured surface (column 6, lines 20-21). Chau et al. are silent as to the structured surface comprising retroreflective cube corner cavities. However, Chau et al. require a reflective surface topography, and Chau et al. specifically teach choosing the surface topography of the structured surface is well within the ordinary skill of one in the art (column 5, lines 14-21 and column 10, lines 1-5).

Stamm discloses a surface topography to produce retroreflective articles having high retroreflective efficiency. Stamm teaches forming a high efficiency retroreflective article by providing a base layer, forming a structured surface comprising cube corner cavities separated on their top surface on the base layer, applying a reflective foil to the structured surface, and filling the structured surface with an optically transparent material (see Figure I and the abstract and column 2, lines 3-13 and column 3, lines 35-55 and column 5, lines 8-14 and column 6, lines 38-45).

Therefore, it would have been obvious to one having ordinary skill in the art at the time the invention was made to Chau et al. to use the cube corner cavity surface topography, as taught by Stamm, for the topography of Chau et al. in order to create a cube corner cavity retroreflective article having high retroreflective efficiency motivated by the fact Chau et al. teaches other topographies can be used to form reflective articles and retroreflective articles are a type of reflective article. Chau et al. teaches polycarbonate for the body at column 5, line 4. The applicant discloses polycarbonate

Art Unit: 1772

for the body on page 15, line 27. With respect to the adhesive being pressure sensitive and radiation or UV curable, Chua teaches UV curable at column 6, lines 9-12. Stueben disclose that pressure sensitive UV cured adhesives are known and form superior adhesives for particular applications. Refer to column 1, line 19 through column 2, line 31. Therefore, it would be obvious to use a UV curable pressure sensitive adhesive, as is known in the art, to attach the retroreflective article to the surface it will be attached to. To substitute one type of adhesive for another would be obvious since they would provide the same function thereto (i.e. attaching using an adhesive). With respect an adhesive layer being on the rear surface per claim 38 it would be obvious to include an adhesive on the back side of the article in order to apply it to its intended surface in this manner.

4. Claims 1, 3-13 and 38 are rejected under 35 U.S.C. 103(a) as being unpatentable over either Rowland (5376431) or Rowland (3810804) in view of Stamm and Stueben et al.

Both primary references teach a retroreflective article comprising cube corner prisms coated with a reflective layer that has an adhesive there over. Refer to figure 3 in Rowland '804 showing prisms 12, reflective layer 30 and adhesive layer 32. Refer to figure 5 in Rowland '431 showing prisms 12, reflective layer 14 and adhesive layer 20. The primary references differ from the recited invention in that the prisms are considered a positive array (i.e. protrude outwardly) instead of a negative array (i.e. form cavities as recited in the instant claims). This is done so that light that enters through the back side (i.e. side opposite the adhesive or flowable material) is reflected

Art Unit: 1772

back there through. The applicants invention is in forming the cube corners as cavities in the front side then applying a reflective film and adhesive thereto so that the article can be mounted from the front side and light can pass through the side with the adhesive and be reflected. It would appear this would be used to mount to a transparent substrate.

Stamm teaches that an array of cube corner elements can be in either cavity or prism form, then coated reflective material and filled in with a transparent medium in order to form an optical element having high reflective efficiency. Refer to column 2, lines 1-12, column 3, lines 34-65, column 4, lines 12-22, column 5, lines 8-15, column 6, lines 38-47, column 24, lines 1-38 and specifically column 25, lines 12-22 which disclose the alternative of the cavities or prism cube corner elements.

Therefore, it would have been obvious to one having ordinary skill in the art at the time the invention was made to either primary reference to form the cube corner elements as a cavity, as taught by Stamm, in order for light to be able to pass through the adhesive side of the article when used and be reflected therefrom motivated by the fact that Stamm teaches either prisms or cavities are known cube corner elements. The elastic modulus of claims 10 and 11 would be obvious to one of ordinary skill in the art motivated by the fact that the structure has been shown to be known and similar materials are used in the prior art and one would conform properties of an article to its particular application. Regarding the pressure sensitive adhesive limitation in claim 1, Rowland '431 teaches such at column 5, lines 37-40. Rowland '804 also discloses pressure sensitive adhesives at column 7, lines 68-69. Both Rowland Patents do fail to

Art Unit: 1772

specifically disclose the adhesive as both pressure sensitive and UV curable. However, Stueben disclose that pressure sensitive UV cured adhesives are known and form superior adhesives for particular applications. Refer to column 1, line 19 through column 2, line 31. Therefore, it would be obvious to use a UV curable pressure sensitive adhesive, as is known in the art, to attach the retroreflective article to the surface it will be attached to. To substitute one type of adhesive for another would be obvious since they would provide the same function thereto (i.e. attaching using an adhesive). With respect an adhesive layer being on the rear surface per claim 38 it would be obvious to include an adhesive on the back side of the article in order to apply it to its intended surface in this manner. With respect to the modulus limitations in claims 15 and 35 it is the examiners position that these are inherent in the prior art since the same type of materials are disclosed for each layer. Rowland '431 teaches polyester for the body at column 5, line 12. The applicant discloses polyester for the body on page 15, line 28.

#### ***Response to Arguments***

5. Applicant's arguments with respect to claims 1, 3-13 and 38 have been considered but are moot in view of the new ground(s) of rejection.
6. The Declaration under 37 CFR 1.132 filed February 7, 2007 is insufficient to overcome the rejection of claims 1, 3-13 and 38 because it does not state where the work was done (i.e. in the US/NAFTA/WTO country). Additionally, the serial number is incorrect for this application. It indicates serial number 09/870180 which is a co-pending case. It is also unclear as to what adhesive the applicant is referring to? Is it the JP references adhesive previously presented? The examiner has included a new reference

as to the adhesive issue as indicated above which clearly teaches pressure sensitive UV curable adhesives are known.

***Conclusion***

7. Applicant's amendment necessitated the new ground(s) of rejection presented in this Office action. Accordingly, **THIS ACTION IS MADE FINAL**. See MPEP § 706.07(a). Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the date of this final action.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Donald Loney whose telephone number is (571) 272-1493. The examiner can normally be reached on Mon, Tues, Thurs and Fri. 8AM-4PM, flex schedule.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Rena Dye can be reached on 571 272-3186. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

*D. Loney*  
Donald Loney  
Primary Examiner  
Art Unit 1772

DJL:D.Loney  
05/26/07